

# United States District Court

Eastern District Of Tennessee

UNITED STATES OF AMERICA

V

Exhibit List

ANMING HU,

Defendant

Case Number 3:20-CR-21

Presiding Judge Thomas A. Varlan, Judge			Plaintiff's Attorney Casey Arrowood, Matthew J. McKenzie	Defendant's Attorney Philip Lomonaco
Trial Date (S) June 7-14, 2021			Court Reporter Terri Grandchamp	Courtroom Deputy Julie Norwood
Exhibit	Id Only	Admitted	Description	
Gov-1-A		X	NASA China Funding Restriction GIC 12-01a	
Gov-2-A		X	UTK-HUS Offer Letter (Nov 2013)	
Gov-2-B		X	UTK-HUS CV (Nov 2013)	
Gov-2-C		X	UTK-HUS Tenure Application (Nov 2018)	
Gov-2-D		X	UTK-HUS Conflict of Interest Form (Nov 2013)	
Gov-2-E		X	UTK-HUS Conflict of Interest Form (Sept 2015)	
Gov-2-F		X	UTK-HUS Conflict of Interest Form (Sept 2016)	
Gov-2-G		X	UTK-HUS Conflict of Interest Form (Oct 2017)	
Gov-2-H		X	UTK-HUS Conflict of Interest Form (Sept 2018)	
Gov-2-I		X	UTK-HUS Conflict of Interest Form (Sept 2019)	
Gov-2-J		X	UT Conflict of Interest Policy Fi0125	
Gov-3-A		X	UTK Email-Email Exchange with BJUT Researcher (Dec 9 2014)	
Gov-3-B		X	UTK Email-Email to HUST Professor 11-19-2015	
Gov-3-D		X	UTK Email-Attachment-Hu Biography	
Gov-3-E		X	UTK Email-Attachment-Hu CV March 2015	
Gov-3-F		X	UTK Email- Email Exchange with Researcher in Japan Re Joint Proposal With BJUT (Nov 30 2015)	
Gov-3-G		X	UTK Email- Email Exchange with BJUT Re Accepting Student (Jan 16 2017)	
Gov-3-H		X	UTK Email-Attachment-Acceptance Letter	
Gov-3-I		X	UTK Email-Attachment-Hu CV 2015	
Gov-3-K		X	UTK Email- Email from BJUT To Accepted Student (Jan 16 2017)	
Gov-3-M		X	UTK Email- Email Exchange Re Jin Yuhua Recommendation (May 8 2017)	
Gov-3-N		X	UTK Email-Attachment-Recommendation Letter for Jin Yuhua	
Gov-3-O		X	UTK Email- Email Exchange Re Jin Yuhua Recommendation (May 19 2017)	
Gov-3-P		X	UTK Email-Attachment-Recommendation for Jin Yuhua	
Gov-3-Q		X	UTK Email- Email from BJUT (Oct 17 2017)	
Gov-3-S		X	UTK Email-Attachment-Manuscript	
Gov-3-T		X	UTK Email- Email Exchange with BJUT Re Laboratory (Dec 2017) (Translated At 11-I)	
Gov-3-U		X	UTK Email- Email to Princeton Professor Re Recommendation (Feb 25 2018)	
Gov-3-V		X	UTK Email-Attachment-Draft Recommendation Letter	
Gov-3-X		X	UTK Email- Email Exchange with BJUT 07-06-2018	
Gov-3-Y		X	UTK Email-NASA China Assurance Form (Dec 13 2019)	
Gov-3-Z		X	UTK Email-Attachment-UTK NASA China Assurance Form	
Gov-4-A		X	Residence-BJUT Business Card in English	

Gov-4-B		X	Residence-BJUT Business Card in Chinese
Gov-4-C		X	Residence-2017 Calendar (Redacted)
Gov-4-E		X	Residence-Lenovo Laptop-Research Paper
Gov-4-F		X	Residence-Lenovo Laptop-HUS Doe FGTRP Form (Signed)
Gov-5-A		X	Residence-Lg Phone-Message to BJUT Faculty Re COVID (Feb 6 2020)
Gov-5-B		X	Residence-Lg Phone-Article in Applied Physics Letter Co-Authored by Hu (Published Aug 2019)
Gov-5-C		X	Residence-Lg Phone-Draft of Article Co-Authored by Hu
Gov-5-D		X	Residence-Lg Phone-Wechat re BJUT Lab (Jan 2020) (Translated At 11-D)
Gov-5-E		X	Residence-Lg Phone-Wechat re Hu'S Class at BJUT (Oct 2019) (Translated At 11-F)
Gov-5-F		X	Residence-Lg Phone-Wechat re Hu'S Employment at BJUT (Nov 2019) (Translated At 11-H)
Gov-5-G		X	Residence-Lg Phone-Wechat re Lin Luchan (Oct 2019) (Translated At 11-E)
Gov-5-H		X	Residence-Lg Phone-Wechat with Chen Hong (Translated At 11-G)
Gov-6-A		X	Office-Dell Desktop-Cooperative Agreement Award Notification
Gov-6-B		X	Office-Dell Desktop-Executed JPL 1560728 Contract
Gov-6-D		X	Office-Dell Desktop-Hu CV 2016 (Translated At 11-O)
Gov-6-E		X	Office-Dell Desktop-Hu CV 2017 (Translated At 11-P)
Gov-6-F		X	Office-Dell Desktop-Letter from BJUT to PRC Consulate (May 2016) (Translated At 11-N)
Gov-6-G		X	Office-Dell Desktop-High Level Talent Agreement (April 2016) (Translated At 11-Q)
Gov-6-H		X	Office-Asus Laptop-Equipment Budget for Lab 2019 (Translated At 11-J)
Gov-6-I		X	Office-China NSF Project Final Report (Translated At 11-K)
Gov-6-J		X	Office-Tms Registration Confirmation 02-2016
Gov-6-K		X	Office-Icaleo Attendee List (Oct 2016)
Gov-7-A		X	Office-Toshiba Hard Drive-TMS 2016 Receipt
Gov-7-B		X	Office-Toshiba Hard Drive-Icaleo Thank You Letter (Mar 23 2017)
Gov-7-C		X	Office-Toshiba Hard Drive-Icaleo Registration Bill (Sept 2017)
Gov-7-D		X	Office-Toshiba Hard Drive-Iiw Agenda 06-2017
Gov-7-E		X	Office-Toshiba Hard Drive-Iiw Invoice and Receipt (2017)
Gov-7-F		X	Office-Toshiba Hard Drive-UTK NASA China Assurance (Jan 2017)
Gov-7-G		X	Office-Toshiba Hard Drive-UTK NASA China Assurance (Jan 2016)
Gov-7-H		X	Office-Toshiba Hard Drive-UTK NASA China Assurance Form
Gov-7-I		X	Office-Toshiba Hard Drive-Lpm2016
Gov-7-J		X	Office-Toshiba Hard Drive-Research Paper
Gov-7-K		X	Office-Toshiba Hard Drive-High Level Talent Agreement (Mar 2019) (Translated At 11-L)
Gov-7-L		X	Office-Toshiba Hard Drive-High Level Talent Agreement (Mar 2019) (Signed-Hu) (Translated At 11-M)
Gov-7-N		X	Office-Toshiba Hard Drive-MDPI Invoice (Jan 2019)
Gov-7-O		X	Office-Toshiba Hard Drive-Research Paper Abstract
Gov-7-Q		X	Office-Toshiba Hard Drive-UTK OSP Ppt
Gov-7-R		X	Office-Toshiba Hard Drive-CME Research Paper (Feb 2019)
Gov-8-A		X	JPL-UTK Email-Email with Loc (Jan 6 2016)
Gov-8-Aa		X	JPL-GPS For CREI Subcontract (April 2014)
Gov-8-B		X	JPL-UTK Email-Attachment-Letter of Commitment
Gov-8-Bb		X	JPL-JPL Email-Email Exchange Re Braxing In Microgravity Proposal (Jan 4 2016)
Gov-8-C		X	JPL-UTK Email-Email Exchange Re NASA China Assurance (Jan 12 2016)
Gov-8-Cc		X	JPL-JPL Email- Email Attachment-BJUT Letter
Gov-8-D		X	JPL-UTK Email-Attachment-UTK NASA China Assurance
Gov-8-Dd		X	JPL-JPL Email- Email Attachment (Facilities-Hu)
Gov-8-E		X	JPL-UTK Email-Email Submission of Proposal 16-0121 To JPL (Jan 12 2016)
Gov-8-Ee		X	JPL-JPL Email-Email Exchange with YBC And Ah (1 4 2016)
Gov-8-F		X	JPL-UTK Email-Attachment-Hu JPL Proposal 16-0121
Gov-8-Ff		X	JPL-JPL Email-Email Exchange with YBC And Ah (Jan 4 2016)
Gov-8-G		X	JPL-UTK Email-Attachment-Hu Commitment Letter
Gov-8-Gg		X	JPL-JPL Email-Email Exchange with YBC And Ah (Jan 4 2016)

Gov-8-H		X	JPL-UTK Email-Attachment-UTK China NASA Assurance Form
Gov-8-Hh		X	JPL-JPL Email-Exchange with YBC And Ah Re Commitments (Jan 6 2016)
Gov-8-I		X	JPL-UTK Email-Email Submission of Proposal (Sept 27 2016)
Gov-8-Ii		X	JPL-JPL Email Exchange with YBC And Dh (Jan 12 2016)
Gov-8-J		X	JPL-UTK Email-Attachment-Letter of Commitment
Gov-8-Jj		X	JPL-JPL Email-Proposal Submission (Jan 13 2016)
Gov-8-K		X	JPL-UTK Email-Attachment-Project Narrative
Gov-8-Kk		X	JPL-JPL Email-Attachment-Submitted Proposal
Gov-8-L		X	JPL-UTK Email-Attachment-Budget Justification
Gov-8-Ll		X	JPL-1560728 Invoice Payments
Gov-8-M		X	JPL-UTK Email-Email Submission of JPL Contract 1560728 (Oct 20 2016)
Gov-8-N		X	JPL-UTK Email-Attachment-Contract 1560728 (Signed by Mercer)
Gov-8-O		X	JPL-1560728 Invoice 90080002
Gov-8-P		X	JPL-1560728 Invoice 90080450
Gov-8-Q		X	JPL-1560728 Invoice 90081036
Gov-8-R		X	JPL-1560728 Invoice 90081674
Gov-8-S		X	JPL-1560728 Invoice 90082092
Gov-8-T		X	JPL-1560728 Invoice 90082670
Gov-8-U		X	JPL-1560728 Invoice 90083042
Gov-8-V		X	JPL-1560728 Invoice 90083579
Gov-8-W		X	JPL-1560728 Invoice 90084524
Gov-8-X		X	JPL-1560728 Invoice 90085260
Gov-8-Y		X	JPL-1560728 Invoice 90085587
Gov-8-Z		X	JPL-1560728 Invoice 90085951
Gov-9-A		X	MSFC-UTK Email-Email Submission of Proposal Re MSFC Cooperative Agreement (Aug 28 2018)
Gov-9-B		X	MSFC-UTK Email-Attachment-Letter of Commitment
Gov-9-D		X	MSFC-UTK Email-Attachment-Hu Proposal Re MSFC Cooperative Agreement
Gov-9-E		X	MSFC-UTK Email-Email Submission Of 80MSFC19m0003 (Nov 12 2018)
Gov-9-F		X	MSFC-UTK Email-Attachment--80MSFC19m0003 (Signed by Mercer)
Gov-9-G		X	MSFC-UTK Email-Email from MSFC (Nov 13 2018)
Gov-9-H		X	MSFC-UTK Email-Attachment-80MSFC19m0003 (Fully Executed)
Gov-9-I		X	MSFC-UTK Invoice 90094841
Gov-9-J		X	MSFC-UTK Invoice 90094842
Gov-9-K		X	MSFC-UTK Invoice 90095482
Gov-9-L		X	MSFC-UTK Invoice 90095483
Gov-10-B		X	Jail Call (Feb 28 2020) (101553) (Translated At 11-A)
Gov-10-C		X	Jail Call (Feb 28 2020) (113959) (Translated At 11-B)
Gov-10-D		X	Jail Call (Feb 28 2020) (162129) (Translated At 11-C)
Gov-10-F		X	Rinaldi Report (May 5 2021)
Gov-10-G		X	Rinaldi-Toshiba Hard Drive Folder Structure
Gov-10-N		X	Office-Toshiba Hard Drive-Photograph
Gov-10-O		X	FBI Ppt To UTK (July 18 2019)
Gov-10-P		X	FBI Ppt To UTK (Aug 30 2019)
Gov-10-R		X	UTK Email-Yang Email To UTK (2 28 2020)_Redacted
Gov-11-A		X	Translated-Jail Call (Feb 28 2020) (101553) (See Original At 10-B)
Gov-11-B		X	Translated-Jail Call (Feb 28 2020) (113959) (See Original At 10-C)
Gov-11-C		X	Translated-Jail Call (Feb 28 2020) (162129) (See Original At 10-D)
Gov-11-D		X	Translated-Residence-Lg Phone-Wechat Re BJUT Lab (Jan 2020) (See Original At 5-D)
Gov-11-E		X	Translated-Residence-Lg Phone-Wechat Re Lin Luchan (Oct 2019) (See Original At 5-G)
Gov-11-F		X	Translated-Residence-Lg Phone-Wechat Re HUS Class at BJUT Oct 2019) (See Original At 5-E)
Gov-11-G		X	Translated-Residence-Lg Phone-Wechat With Chen Hong (See Original At 5-H)
Gov-11-H		X	Translated-Residence-Lg Phone-Wechat Re HUS Employment at BJUT (Nov 2019) (See Original At 5-F)

Gov-11-I		X	Translated-UTK Email-Email Exchange with BJUT Re Laboratory (Dec 2017) (See Original At 3-T)
Gov-11-J		X	Translated-Office-Asus Laptop-Equipment Budget for Lab 2019 (See Original At 6-H)
Gov-11-K		X	Translated-Office-China NSF Project Final Report (See Original At 6-I)
Gov-11-L		X	Translated-Office-Toshiba Hard Drive-High Level Talent Agreement (Mar 2019) (See Original At 7-K)
Gov-11-M		X	Translated-Toshiba Hard Drive-High Level Talent Agreement (Mar 2019) (Signed By Hu) (See Original At 7-L)
Gov-11-N		X	Translated-Office-Dell Desktop-Letter from BJUT To PRC Consulate (May 2016) (See Original At 6-F)
Gov-11-O		X	Translated-Office-Dell Desktop-Hu CV 2016 (See Original At 6-D)
Gov-11-P		X	Translated-Office-Dell Desktop-Hu CV 2017 (See Original At 6-E)
Gov-11-Q		X	Translated-Office-Dell Desktop-High Level Talent Agreement (April 2016) (See Original At 6-G)
Gov-12-A		X	Update 1 (Exh 1)
Gov-12-D		X	Update 1 (Exh 4)
Gov-12-K		X	Update 1 (Exh 31)
Gov-12-L		X	Update 1 (Exh 30)
Def-1		X	Tenure Package
Def-2		X	2013-14 Annual Activity Report
Def-3		X	2014-15 Annual Activity Report
Def-4		X	2015-16 Annual Activity Report
Def-5		X	2016-17 Annual Activity Report
Def-6		X	2018-19 Annual Activity Report
Def-14		X	2016 Proposal & Budget Development Training Powerpoint
Def-17		X	Hefei Collaboration Letter
Def-20		X	February 2015 NSF Proposal
Def-21		X	October 2016 NSF Proposal
Def-22	X		FBI Investigation Initiation and Surveillance
Def-23	X		Ah Technical Invention Disclosures
Def-23-A		X	Ah Technical Invention Disclosures (Revision)
Def-24	X		July 18, 2019 Presentation (1st)
Def-27		X	Drew Haswell China Assurance Explanation
Def-31		X	Greg Tolliver Email to Ah to Not Sign Agreement
Def-32		X	Greg Tolliver Email to Ah New NASA Clauses Need Review
Def-35		X	Faculty Handbook
Def-39		X	FBI Ah Interview Memo
Def-43	X		FBI Surveillance Memo
Def-49		X	July 18, 2019 Presentation Exhibits 1a-4b
Def-53		X	July 18, 2019 Presentation Exhibits 62-66
Def-60		X	BJUT Collaboration Letter Email to NASA
Def-61		X	BJUT Collaboration Letter
Def-62		X	NASA JPL 1st Invitation Email
Def-63		X	NASA JPL Facilities Email
Def-64		X	Bar-Cohen Email Denying Collaboration Letters from China
Def-65		X	NASA JPL Proposal Facility Revision
Def-66		X	NASA JPL Proposal Before Revision
Def-67		X	Hefei Collaboration Letter Email for Records
Def-68		X	Confused China Assurance Email Regarding Hefei
Def-70		X	NASA JPL 2nd Invitation Email
Def-71		X	Bar-Cohen Email Requesting Unique Skills
Def-81		X	NASA JPL Project Narrative
Def-83		X	2018 Proposal & Budget Development Training Powerpoint
Def-112		X	BJUT Visiting Scholar Delong Ma Invitation
Def-113		X	BJUT Visiting Scholar Ying Ma Invitation
Def-114		X	BJUT Visiting Scholar Ying Ma Resume
Def-126		X	2016 Proposal & Budget Development Training Transmittal Email

Def-131		X	NASA China Restriction
Def-132		X	March 13, 2019 NASA Training Materials
Def-134		X	February 2015 NSF Email
Def-135		X	February 2015 NSF Transmittal Email
Def-137-A		X	Sample UTK China Assurance
Def-144		X	First JPL Proposal Transmittal Email
Def-145		X	First JPL Proposal
Def-146		X	China Initiative Year-In-Review (2019-20)
Def-147		X	China Trips